

N A T I O N A L

E N D O W M E N T

F O R T H E

H U M A N I T I E S

Division of Research Programs

Collaborative
Research

APPLICATION DEADLINE:
September 1, 2000

This booklet contains the guidelines and application forms necessary to apply to the Collaborative Research program. These forms may be photocopied for use by more than one person.

COLLABORATIVE RESEARCH TIMETABLE

Deadline	Notification	Projects Beginning
September 1	April 1	May or later

Fifteen copies of the application and three extra copies of the cover sheet must be **postmarked** on or before the deadline.

Preliminary proposals: All applicants, particularly first-time applicants, are encouraged to submit preliminary drafts of proposals no later than six weeks ahead of the deadline, for consultation with program staff.

Send all applications to:

Collaborative Research
National Endowment for the Humanities
Division of Research Programs
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Telephone: 202/606-8200

E-mail address: collaborative@neh.gov

NEH information and forms are also available on the
World Wide Web at <http://www.neh.gov>

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OMB No. 3136-0134
Expires 7/31/00

Customer Service Standards

In assisting you as a prospective applicant, you can expect us to:

- o respond courteously and quickly to your requests for information about our grant programs;
- o be able to describe the programs that best suit your needs;
- o provide application instructions and forms that are clear and easy to use;
- o offer prompt and thoughtful advice and guidance in preparing your application;
- o explain accurately the procedures that would be used to evaluate your application and tell you when you could expect a decision.

In assisting you as an applicant, you can expect us to:

- o ensure that the evaluation of your application is fair, expeditious, and informed by the expert judgments of your peers;
- o notify you promptly of the decision on your application;
- o provide substantive reasons for the decision reached on your application;
- o give you helpful advice, if you are unsuccessful, on revising or resubmitting your application.

In assisting you as a grantee, you can expect us to:

- o provide you with an award document that is clear and easy to understand and that sets forth sensible reporting requirements;
- o provide the names of our staff members who will serve as contacts for your reports and for any assistance you may need;
- o answer promptly and satisfactorily all requests for information on NEH policies and procedures;
- o read and acknowledge promptly your reports on grant activities;
- o maintain a professional, helpful relationship with you as you carry your project to completion.

THE NATIONAL ENDOWMENT FOR THE HUMANITIES

In order “to promote progress and scholarship in the humanities and the arts in the United States,” Congress enacted the National Foundation on the Arts and the Humanities Act of 1965. This act established the National Endowment for the Humanities as an independent grant-making agency of the federal government to support research, education, and public programs in the humanities.

The Humanities

The act that established the National Endowment for the Humanities says “The term ‘humanities’ includes, but is not limited to, the study of the following: language, both modern and classical; linguistics; literature; history; jurisprudence; philosophy; archaeology; comparative religion; ethics; the history, criticism, and theory of the arts; those aspects of social sciences which have humanistic content and employ humanistic methods; and the study and application of the humanities to the human environment with particular attention to reflecting our diverse heritage, traditions, and history and to the relevance of the humanities to the current conditions of national life.”

Organization of the Endowment

Grants are made through four divisions (Education Programs, Preservation and Access, Public Programs, and Research Programs) and two offices (Challenge Grants and the Federal/State Partnership).

Presidential Directives

The National Endowment for the Humanities participates in three government-wide Presidential Directives. Executive Order 12677 mandates federal efforts to help strengthen and ensure the long-term viability of the nation’s Historically Black Colleges and Universities, Executive Order 12729 mandates federal efforts on behalf of educational excellence for Hispanic Americans, and Executive Order 13021 mandates increased accessibility of federal resources for Tribal Colleges. The NEH encourages applications that respond to these Presidential Directives.

WELCOME TO THE NATIONAL ENDOWMENT FOR THE HUMANITIES

*“Democracy demands wisdom and vision in its citizens” --
National Foundation on the Arts
and the Humanities Act of 1965.*

Collaborative Research grants support full-time or part-time activities for periods of up to three years. All grantees are expected to publish or in other ways to disseminate the results of their work.

APPLICATION INSTRUCTIONS

Types of Projects Supported

Collaborative Research grants support original research undertaken by a team of two or more scholars or research coordinated by an individual scholar that because of its scope or complexity requires additional staff or resources beyond the individual's salary. Eligible projects include research leading to the preparation of scholarly publications that break new ground or offer fresh perspectives; editions of works or documents that are of value to humanities scholars and general readers and have been either previously inaccessible or available only in inadequate editions; annotated translations into English of works that provide insight into the history, literature, philosophy, and scientific and artistic achievements of other cultures; and conferences addressing a specific set of research objectives on a topic of major significance to the humanities. Applicants must make a convincing case for the importance of the project, describe sound research methods and a practical work plan, and demonstrate that staff and institutional resources appropriate to the goals of the project are available and committed.

These grants support full-time or part-time activities for periods of up to three years. Support is available for various combinations of scholars, consultants, and research assistants; project-related travel; field work; and technical support and services. All grantees are expected to publish or in other ways to disseminate the results of their work.

Proposals for conferences that aim to extend the reach and impact of new developments in humanities education should be submitted to the Education Demonstration and Development program in the Division of Education Programs; proposals for conferences or symposia designed primarily to disseminate information about humanities subjects to public audiences should be submitted to the Division of Public Programs.

What is Not Supported

The Endowment supports projects that involve historical and philosophical approaches to the social sciences but does *not* support empirical social scientific research, specific policy studies, or educational or technical impact assessments. In addition, this program does *not* provide support for research undertaken in the pursuit of an academic degree; the preparation or publication of textbooks; archaeological surveys to determine the feasibility of excavation or materials analysis whose primary goal is refinement of a method; inventories of collections; projects that focus on pedagogical theory, research in educational

methods, tests, or measurements, or cognitive psychology; recurrent meetings of professional organizations, societies, and formal or informal scholarly organizations; and projects that are directed at persuading an audience to a particular political, philosophical, religious, or ideological point of view, or that advocate a particular program of social action or change. Projects resulting in the preparation of bibliographies, descriptive catalogs, dictionaries, encyclopedias, databases, variorum editions, or other research tools or reference works should be submitted to the Division of Preservation and Access.

Size of Awards

Awards normally range from \$10,000 to \$200,000, and the use of federal matching funds is encouraged. Federal matching funds are released when a grantee secures gift funds from eligible third parties. Because of the limited funds available for support of research, the Endowment normally can contribute only part of the funds needed to carry out a project. Requests for more than \$100,000 should include the use of matching funds.

Eligibility for NEH Support

Individuals or nonprofit institutions and organizations in the United States are eligible for support. To be eligible to receive NEH funding, institutional applicants must have obtained tax-exempt status from the Internal Revenue Service. When accepting a grant, the recipient certifies that it has tax-exempt status. U.S. citizens are eligible to apply as individual applicants, as are foreign nationals who have been legal residents in the United States or its jurisdictions for a period of at least the three years immediately preceding the submission of the application.

Applications Requesting Renewed Funding

An applicant may submit, at the regular deadline, a proposal for a new period of funding to continue or complete a project that has received previous NEH funding. These applications are judged by the same criteria as applications for new projects. The new proposal should be substantially updated. It should explain the specific tasks to be undertaken in the new grant period, as well as the accomplishments under the previous grant, which should be discussed in light of the goals set out in the approved plan of work. The application must also demonstrate the need for additional Endowment support by justifying the project budget in relation to the proposed additional results.

The Evaluation Process

Each Endowment application is assessed by knowledgeable persons outside

***T**he new proposal should explain the accomplishments under the previous grant, which should be discussed in light of the goals set out in the approved plan of work.*

About 650 scholars, professionals in the humanities, and other experts serve on approximately 125 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds.

the agency who are asked for their judgments about the quality and significance of the proposed project. About 650 scholars, professionals in the humanities, and other experts serve on approximately 125 panels throughout the course of a year. Panelists represent a diversity of disciplinary, institutional, regional, and cultural backgrounds. In the Collaborative Research program the judgment of panelists is supplemented by individual reviews solicited from specialists who have extensive knowledge of the specific subject area or technical aspects of the application under review.

The advice of evaluators is assembled by the staff of the Endowment, who comment on matters of fact or on significant issues that would otherwise be missing from the review. These materials are then forwarded to the National Council on the Humanities, a board of twenty-six citizens nominated by the President of the United States and confirmed by the Senate. The National Council meets three times each year to advise the Chairman of the Endowment. The Chairman, who is appointed for a four-year term by the President with the consent of the Senate, takes into account the advice provided by this review process and, by law, makes the final decision about funding.

Examples of Funded Projects

Two scholars will complete an edition of the correspondence of Robert and Elizabeth Barrett Browning. They will publish the results as a complete and fully transcribed CD-ROM edition, with notes identifying correspondents, dating letters, and clarifying textual irregularities. The editors emphasize that electronic publication will allow them to include all of the known correspondence. In addition, digital storage enables swift data retrieval for those using the edition, because all proper nouns, titles, and other key words will be linked with search routes. Having already published fourteen print volumes covering the correspondence up to the time of the Brownings' elopement, the project director will concentrate on completing editorial work on the remaining letters and perfecting a software program to convert the entire encoded text to one compatible with CD-ROM publication.

A photographic historian plans collaboration with an urban historian to write a study of the work of Jacob Riis, the influential social reformer whose photographs of New York's Lower East Side form a unique record of urban poverty at the turn of the century. The Museum of the City of New York recently cataloged and reprinted its Riis collection, which consists of nearly one thousand glass negatives, lantern slides, and vintage prints. The two historians will now analyze the photographs to explore questions of identification and dating, Riis's use of the images in publications and lectures, and the public reception of his

work. They intend to examine his career and images in the context of the development of photography, law enforcement, and social reform, and by “mapping” the locales and subjects used by Riis in his photographs and writings to contribute to what we know about New York’s inhabitants and built environment in the late nineteenth and early twentieth centuries.

A team of archaeologists in collaboration with several historians applies for support to continue excavation, research, and publication of the fort and colonial settlement at Jamestown, Virginia. During the previous grant period, the team discovered the remains of the original fort, thought to have been destroyed by estuarine erosion. The team plans to continue excavation and to develop a database of artifacts that will be available to scholars and students for future research. The archaeological method proposed will address historical questions concerning international trade patterns, military and architectural history, life expectancy, health, diet, and habits in the earliest days of European settlement in the Chesapeake region. Preliminary reports of the research will be quickly disseminated in print and on the Internet. The project director’s efforts to disseminate results to a broad public through lectures, exhibits, and the Internet serve to attract donors whose contributions are used to release federal matching funds.

Two scholars of Chinese history propose an international conference on the social, economic, and cultural aspects of the history of printed books in late imperial and early modern China. Recognizing that past research has concentrated largely on the study of rare editions and the history of printing technology, the organizers have commitments from scholars whose presentations will throw light on issues such as the impact of commercial publishing and marketing on levels of literacy, the classification of knowledge, and the creation of a common culture for different ethnic and linguistic groups. The organizers will provide the presenters with a list of the focal issues guiding the conference. Advance distribution of the papers will enable participants to concentrate on critiques, the authors’ responses, and discussion. Publication of the papers, revised after the conference, will bring its results to a wide range of scholars and students.

Evaluation Criteria

Evaluators are asked to apply the following five evaluation criteria as appropriate:

1. The intellectual significance of the project, including its potential contribution to scholarship in the humanities; the likelihood that it will stimu-

late work in a new direction or a productive area of research; its relationship to larger themes or issues in the humanities; and the significance of the material on which the project is based.

2. The pertinence of the research questions posed in the project; the appropriateness of the research methods, critical apparatus, editorial policies, translation approaches, or conference design; the feasibility of the work plan; the quality of the samples, e.g., their content, accuracy, readability, and the clarity and helpfulness of annotations; and the appropriateness of the field work to be undertaken, the archival or source materials to be studied, and the research site.

3. The qualifications, expertise, and levels of commitment to the project of the project director and key project staff or contributors, and the appropriateness of the chosen staff to the goals of the project.

4. The promise of quality, usefulness, and impact on scholarship of any resulting publication, product, or outcome; the soundness of the dissemination plans, including the benefit to the audience identified in the proposal; the soundness of the dissemination plans, including the strength of the case for producing print volumes, microform, digital format, or a combination of media; and in the case of archaeology projects, the likelihood that the project will produce an interpretive study.

5. The potential for success, including the likelihood that the project will be successfully completed within the projected time frame; where appropriate, the project's previous record of success; and the appropriateness of the project's budget in relation to its likely results.

GRANTEE RESPONSIBILITIES

Before any work is done in developing a proposal, the project director and the authorizing official of the applicant institution should review the following section on grantee responsibilities to determine if their institution is able to comply with these requirements. **The authorizing official is also advised to review the material on certifications in the appendix to this brochure before signing Block 12 of the application cover sheet.**

The grantee organization is required to

- o have a sound financial management system that records separately within its general accounting system the receipt and disbursement of grant funds and cost sharing contributions and that monitors the expenditure of these funds against the approved budget;
- o carry out project activities in accordance with the workplan provided in the approved application—changes in key project personnel, project scope or design, or in the arrangements to contract out project activities must be submitted to NEH in advance for review and approval;
- o have in place a written organizational prior approval system for prior review and approval of all grant actions and expenditures that the grantee institution is delegated authority to approve;
- o maintain adequate documentation of the time spent by all project personnel on grant activities;
- o have an audit performed that meets the requirements of Office of Management and Budget Circular A-133 whenever \$300,000 or more in federal funds is expended during a fiscal year;
- o ensure that all procurement transactions are conducted in a manner that provides, to the maximum extent practical, open and free competition and that for purchases in excess of \$100,000 any use of sole-source contracts is fully justified and documented;
- o return to NEH a portion of the income earned on services and products resulting from grant activities when this is required by the terms and conditions of an award; and
- o acknowledge NEH support in all materials publicizing or resulting from grant activities.

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of work.

APPLICATION INFORMATION

Preliminary Proposal

Those intending to apply for Collaborative Research grants are strongly encouraged to submit a draft of the narrative and budget sections of the proposal at least six weeks before the application deadline. An Endowment staff member will read the draft and offer advice regarding the eligibility, substance, and format of the proposal. Staff responses to preliminary proposals are not part of the formal review process. Once the Endowment has received a formal application, staff will not comment on the status of that application except with respect to questions of completeness or eligibility. Lists of projects funded in previous years and copies of successful proposals are available on request.

Preparation of Application

All applications to the Endowment should present, in a clear, coherent manner, a sound intellectual justification for the proposal and an appropriate plan of work. Titles of projects should be brief, descriptive, and substantive. Prospective applicants are advised to review carefully the evaluation criteria listed above and to address them in the proposal. Narrative descriptions must be limited to no more than 20 double-spaced pages (approximately 6,000 or fewer words), with appendices used to provide appropriate supplementary material, such as concise (maximum of two pages each) and current résumés.

NEH Application Cover Sheet

The required form and instructions are on pages 16-20.

Statement of Significance and Impact of Project

This should be a one-page abstract for a nonspecialist audience stating clearly why the project is important, what difference the results of the project will make, and to whom. The statement should explain the importance of the proposed research to larger issues or themes in the humanities.

Table of Contents

The table of contents should list the page numbers on which the parts of the application and its subdivisions appear.

List of Project Participants

On a separate page, please list in alphabetical order, last names first, the names of all participants and collaborators in the project and include their insti-

tutional affiliations, if any. If the project has an advisory board, do not include the members of the board here, but list them in the Project Staff section described below. The list of project participants will be used to ensure that prospective panelists and reviewers have no conflict of interest with the project they will be evaluating.

Narrative Description

Prepare a detailed project description. It should include the following sections:

Substance and Context. Provide a clear and concise explanation of the nature of the project and its value to scholars, students, and general audiences in the humanities. Applicants should describe the scope of the research, the source materials, the relationship of the research to other published and ongoing work in the field, and the major issues to be addressed. Applicants should provide a bibliographical essay in the narrative section or a bibliography of relevant primary and secondary sources in an appendix.

History and Duration of the Project. Provide a concise history of the project, including any preliminary research or planning, the financial support the project has already received, publications that have been produced, and the resources or research facilities available for it. Include information on publications already produced: for example, sales figures and publication dates for all volumes and (in an appendix) reviews of the most recent volume, and an account of royalties that explains how they are divided and used. If the project has a website, please provide its address. If an archaeological excavation is proposed, evidence of publication of any previous field work at the site should be included. If work on the project will continue after the proposed period of the grant, the applicant should provide details about the work and probable sources of support.

Project Staff. Identify the project director and project participants, describe their responsibilities, and state their qualifications for undertaking their assignments. Résumés for the major participants (maximum of two pages each) should be included in an appendix. Project directors must be in charge of their projects and must devote a significant portion of their time to them. All persons directly involved in the conduct of the grant—whether or not their salaries are paid from grant funds—should be named, their anticipated commitments of time should be indicated, and the nature of their collaboration explained. If the project has an advisory board, a statement of its function and a list of board members should be provided.

Methods. Explain and justify the project's methods. The applicant should explain how the central research questions will be approached and how any

***P**rovide a clear and concise explanation of the nature of the project and its value to scholars, students, and general audiences in the humanities.*

L is advisable to provide a plan of work by six-month periods that delineates the stages by which the project will be carried out.

potential difficulties in working with primary source materials will be resolved.

- Applicants should describe in detail the tasks to be undertaken and the computer technology to be employed, indicating what technical and staff resources will be required, as well as the project staff's experience with the technology and its application to humanities scholarship.

- An applicant preparing an edition or translation should provide information about and demonstrate the significance of the texts or documents to be edited or translated during the proposed grant period. The applicant should discuss in some detail such matters as how an authoritative text is to be established; the proportion of the total number of existing documents an edition will represent and how that decision was reached as well as what selection criteria will be used; the procedures adopted for control of the documents; and the principles to be followed in the transcription of materials, emendation, regularization, or modernization of the original materials. An applicant planning a selected print edition should state the reason for the number of volumes proposed.

- An applicant proposing a conference should identify the critical issues or problems to be addressed and explain what is at stake intellectually. The applicant should identify the presenters and commentators and explain the criteria and procedures by which they have been selected; describe in detail the presenters' topics, their qualifications, and their expected contributions to the conference; include letters of commitment from conference participants; delineate the conference's daily program and show how it will engender productive discussion; and provide information about local arrangements. Applicants must demonstrate that a conference is the appropriate method for realizing the research objectives, and that the objectives cannot be achieved through regular meetings of professional organizations, societies, and formal or informal gatherings of scholars.

- An applicant proposing field work should discuss the appropriateness of the methodology, including a clear and explicit discussion of the links between the project's interpretive questions and the methods of collection and analysis.

Work Plan. Provide a detailed description of the proposed organization and implementation of the project. It is advisable to provide a plan of work by six-month periods that delineates the stages by which the project will be carried out, describes what will be accomplished during each stage, and identifies the staff members who will be involved in the various stages.

Final Product and Dissemination. Describe publication plans and provide, if possible, an informative outline of the publication. Any pertinent correspondence with a publisher, such as a letter of interest, should be included. Applicants are encouraged to disseminate their work by electronic means. They should discuss the form chosen for the final product (printed articles or books, microform, electronic media, or some combination) and the rationale for the choice. If the project involves materials currently under copyright, the applicant should indicate what has been done to secure the necessary permission to publish the materials. If an electronic edition is being proposed, applicants should seek the advice of Endowment staff on additional information that would be useful for evaluators.

Project Budget

A budget form and instructions are included in this booklet.

Appendices

Please limit the appendices to supplementary materials that are essential. These materials should include a brief résumé (two-page maximum) for each project participant and letters of commitment from outside participants and cooperating institutions. Assessments of previous applications and testimonials (as opposed to letters of commitment from conference participants or letters of interest from prospective publishers) should not be included; reviewers and panelists will be instructed to ignore them. Illustrative or descriptive material from preliminary work or previous periods of support may be included in an appendix but should be limited to essential information.

Applicants who have not included bibliographical references in their narrative should include a bibliography of relevant primary and secondary literature.

- If a translation is being proposed, applicants must provide a five- to seven-page, double-spaced sample, with appropriate sample annotations, of the translation to be undertaken, together with a photocopy of the same passage in the original language. Applicants should choose passages that illustrate the importance of the original and the degree of difficulty of the text.

- If an edition is being proposed, applicants should include samples of the material to be edited in the proposed grant period. Because the samples should illustrate the editorial principles and procedures described in the narrative description, photocopies of the original documents must be included and annotations provided. The samples chosen should also illustrate the significance of the

If the project has received previous support from any federal or nonfederal sources, including NEH, please list the sources, dates, and amounts of these funds.

Applicants should not discuss their proposals with the potential reviewers.

materials to be edited and should be carefully checked for accuracy.

- If a conference is being proposed, applicants should provide a copy of the program, letters of commitment from presenters and cooperating institutions, résumés (two-page maximum) for the conference organizers, and a paragraph devoted to the pertinent qualifications of each person listed in the program.

- If an archaeological excavation is being proposed, applicants should include appropriate plans, maps, and photographs, and evidence that all necessary permits will be forthcoming. Applicants should describe plans for the publication of field reports and interpretive studies and provide evidence of publication of any previous field work at the site.

Statement of History of Grants

If the project has received previous support from any federal or nonfederal sources, including the NEH, please list the sources, dates, and amounts of these funds. These materials should convey the numbers of years the project has received NEH support. If the project has a long history of support, the sources and contributions may be grouped and summarized.

SUBMISSION OF APPLICATION

List of Suggested Reviewers

On a separate sheet of paper, applicants should provide the names and full mailing addresses (and, if possible, e-mail addresses) of six to eight disinterested persons who can provide impartial evaluations of the proposal. Applicants may explain briefly a person's appropriateness as an evaluator; they should not, however, discuss their proposals with the potential reviewers. Current grantees who are reapplying should provide a revised list of suggested reviewers.

Endowment staff will consult these lists, along with other sources, in choosing reviewers for the proposals. The suggested reviewers should be experts either in the particular area of the application or on the proposed methodology, or they should be scholars whose expertise and broad knowledge lend weight to their judgments.

Some potential reviewers are excluded from consideration because of federal rules governing conflict of interest. These exclusions apply to immediate relatives of project staff members, all employees of the applicant institution, and all others who can be deemed to benefit financially from the project if it is funded. Also excluded are the applicants' dissertation advisors and individuals

who have been or will be involved in the project.

Copies of Application

Applicants should submit *fifteen* copies of the application, including one copy with the original, signed cover sheet. The copy with the original, signed cover sheet should be unbound and single-sided.

Each copy of the application contains:

1. NEH application cover sheet (on form provided)
2. Statement of significance and impact
3. Table of contents
4. List of project participants
5. Narrative description
6. Project budget (on form provided)
7. Appendices
8. Statement of history of grants

Additional Materials

Include *two* copies of the list of suggested reviewers, *three* additional copies of the cover sheet, and *one* additional copy of the list of project participants.

Mail completed application package to:
Collaborative Research
Division of Research Programs
National Endowment for the Humanities
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Applications may not be submitted to NEH by means of a FAX machine or via electronic mail.

Applicants may find helpful the Application Checklist on the inside back cover.

Deadline

The complete application package must be postmarked no later than *September 1*. The Endowment acknowledges receipt of applications within approximately four weeks of the deadline. The review of applications for Collaborative Research requires approximately seven months, and applicants are notified of the Endowment's decision early in April. Funds would be available as early as May 1.

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates the average time to complete this application is fifty-six hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed; and completing and reviewing the application. Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the time to complete, to the Director of the Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, D.C. 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

INSTRUCTIONS FOR COMPLETING THE NEH APPLICATION COVER SHEET

Block 1. Project director or individual applicant

Item a. If the application is submitted through an institution or organization, enter the name and mailing address of the person who will carry out the project or be chiefly responsible for directing it. (Information about an institution also is requested in Blocks 2 and 11.) When an application is submitted by an individual, enter the name and address of the individual.

Item b. In the space provided, enter the number corresponding to the project director's preferred form of address:

1-Mr. 2-Mrs. 3-Miss 4-Ms. 5-Professor 6-Dr.

Item c. Enter the project director's full telephone number with area code and, if applicable, extension. Whenever possible, one of the telephone numbers listed should be a number at which a message can be left. Enter FAX number or e-mail address if applicable.

Item d. (To be completed only for applications submitted by individuals.) If possible, indicate the code for the appropriate major field from the list of Field of Project Categories and Codes on the reverse side of the NEH Application Cover Sheet.

Item e. (To be completed only for applications submitted by individuals.) If a foreign national, check "Other" and specify the month and year in which you came most recently to reside in the United States.

Block 2. Type of applicant

Check either (a) or (b).

Only an applicant applying as an unaffiliated individual should check the "individual" box. A project director affiliated with an institution must apply through that institution if the project will make use of the institution's resources, for example, the library, office space, clerical assistance, etc. If the project does not use such resources, the project director may apply as an individual; but in such cases the Endowment must receive a statement from the institution indicating awareness of the project director's submission of an application.

For those who checked (a) ONLY: Please indicate an institutional affiliation, if applicable, in Block 11a.

For those who checked (b) ONLY: Identify *Type* such as: business, religious, museum, historical society, government (state, local, etc.), public media (TV, radio, newspaper, etc.), educational (elementary/secondary, school district, 2-year college, 4-year college, etc.), library (public, research, etc.), center (advanced study, research, etc.). Identify *Status* as either private nonprofit or unit of state or local government. Example: *Type*: historical society. *Status*: private nonprofit.

Block 3. Type of application

Check the appropriate type:

Item a. New--applicants requesting a new period of funding, whether for a new project or for a project previously funded by NEH, should check this box.

Item b. Supplement--applicants requesting additional funding to a current NEH grant should check this box.

Block 4. Program to which application is being made

The title of the program is preprinted.

Block 5. Requested grant period

Grant periods begin on the first day of the month and end on the last day of the month. Project activities need not begin on the first day, but all project activities must take place within the requested grant period.

Block 6. Project funding

Enter here the appropriate figures from the project budget that is part of your application.

Block 7. Field of project

Indicate the category and code from the listing on the reverse side of the cover sheet to indicate the *specific* humanities field that best describes the content of the project.

Block 8. Descriptive title of project

Enter a brief title that clearly identifies the project and its humanities content. This title should be informative to a nonspecialist. NEH is obliged to be as clear as possible to the public about the awards that it makes. The descriptive title will be used for this purpose whenever possible, but the Endowment staff may assign a different working title.

Block 9. Description of project

Provide a brief description of the proposed project. Do not exceed the space provided.

Block 10. Will this proposal be submitted to another government agency or private entity for funding?

This information is sought without prejudice to the application. NEH frequently cosponsors projects with other funding sources. If not applicable, indicate "N/A."

Privacy Act. This information is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

Block 11. Institutional data

Item a. Indicate the name of the institution and the city and state of its official mailing address.

Item b. Enter the institution's employer identification number.

Item c. Indicate the name and title of the person who is authorized to submit applications on behalf of the institution or organization and to provide the certifications required in Block 12.

Item d. Indicate the name, mailing address, form of address (see instructions for Block 1b), and telephone number of the person who will be responsible for the financial administration of the grant if an award is made. For example, at many universities the provost, vice president, president, or chancellor is the person authorized to submit an application (see Item c), but the actual administration of the project--such as, negotiating the project budget and ensuring compliance with the terms and conditions of the award--is the responsibility of a grants or research officer. It is the latter person who should be listed here.

Block 12. Certification

The Endowment is required by government-wide regulations to obtain from all applicants certifications regarding federal debt status, debarment and suspension, and a drug-free workplace. Institutional applicants are required to certify that they will comply with the nondiscrimination statutes. When an applicant requests more than \$100,000 in grant funds, it must also certify that no federal funds have been or will be paid to any person to influence the funding decision for the specific proposal that is being submitted for consideration. In the unlikely event that an NEH applicant has used or plans to use nonfederal funds for this purpose, it must request, complete, and submit a standard disclosure form. These certifications, which appear in the Appendix to the guidelines, should be read before Block 12 of the application cover sheet is signed. Additional information on these certifications is available from the NEH website, <http://www.neh.gov>, or from the NEH Grants Office, room 311, Washington, D.C. 20506, 202/606-8494.



COLLABORATIVE RESEARCH APPLICATION COVER SHEET

OMB No. 3136-0134
Expires: 7/31/00

1 Project director/individual applicant

a. Name and mailing address:

(last) (first) (initial)

(city) (state) (zip code)

b. Form of address: _____

c. Telephone numbers:

Office: _____/_____ Home: _____/_____
(area code) (area code)

FAX: _____/_____ E-mail: _____
(area code)

d. Major field: _____ (code)

e. Citizenship: ☐ U.S. ☐ Other _____
(country) (month/year)

2 Type of applicant

a. ☐ by an individual b. ☐ through an organ./institution
If a, indicate an institutional affiliation, if applicable, on line 11a.
If b, complete block 11 below and indicate here:

c. Type:

d. Status:

3 Type of application

a. ☐ new b. ☐ supplement

If b, indicate previous grant number: _____

4 Program to which application is being made

Collaborative Research

5 Requested grant period

From: _____ To: _____

6 Project funding

a. Outright funds	\$	_____
b. Federal match	\$	_____
c. Total from NEH	\$	_____
d. Cost sharing	\$	_____
e. Total project costs	\$	_____

7 Field of project

_____ (code)

8 Descriptive title of project

9 Description of project (do not exceed space provided)

10 Will this proposal be submitted to another government agency or private entity for funding? (If yes, indicate where and when)

11 Institutional data

a. Institution or organization:

(name)

(city) (state)

b. Employer identification number: _____

c. Name of authorizing official:

(last) (first) (initial)

(title)

d. Name and mailing address of institutional grant administrator:

(last) (first) (initial)

(city) (state) (zip code)

Telephone: _____/_____ Form of address: _____
(area code)

FAX: _____/_____ E-mail: _____
(area code)

12 Certification. By signing and submitting this application, the individual applicant or the authorizing official of the applicant institution (block 11c) is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities as set forth in the appendix to these guidelines.

(printed name) / (signature) / (date)

NOTE: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both for knowingly providing false information to an agency of the U.S. government. 18 U.S.C. Section 1001

For NEH use only: Date Received:

Application #:

Initials

Field of Project

Categories and Codes

The following categories and codes should be used to complete blocks 1d and 7 of the NEH application cover sheet. If no exact appropriate category is provided, please select the larger category that would include the more precise one. (This listing is strictly for use by NEH staff to help retrieve information about applications and grants by subject matter field. The listing is not comprehensive and is not meant to define the disciplines of the humanities. For that definition and advice about eligibility for Endowment awards, please consult elsewhere in these application materials. The hierarchical arrangement is for convenience.)

Anthropology	L1	Languages	C1
Archaeology	U6	Ancient	CC
Archival Management/ Conservation	I1	Asian	CA
Arts/History and Criticism	MA	Classical	C2
Architecture: History & Criticism	U3	Comparative	C9
Art: History & Criticism	M1	English	CE
Dance: History & Criticism	M3	French	C3
Film: History & Criticism	M4	German	C4
Music: History & Criticism	M5	Italian	C5
Theater: History & Criticism	M2	Latin American	C6
Communications	P2	Near Eastern	CB
Composition & Rhetoric	P1	Slavic	C7
Journalism	P4	Spanish	C8
Media	P3	Law/Jurisprudence	Q1
Education	H1	Library Science	H3
Ethnic Studies	K1	Linguistics	J1
Asian American	K5	Literature	D1
Black/African-American	K4	African	DK
Hispanic American	K3	American	DE
Jewish	K6	Ancient	DC
Native American	K2	Asian	DA
History	A1	British	DD
African	A2	Classical	D2
American	A3	Comparative	D9
Ancient	AC	French	D3
British	A4	German	D4
Classical	A5	Italian	D5
European	A6	Latin American	D6
Far Eastern	A7	Literary Criticism	D1
Latin American	A8	Near Eastern	DB
Near Eastern	A9	Slavic	D7
Russian	AA	Spanish	D8
South Asian	AB	Museum Studies/Historic Preservation	I2
Humanities	U8	Philosophy	B1
Interdisciplinary	U1	Aesthetics	B2
African Studies	GI	Epistemology	B3
American Studies	G3	Ethics	B4
Area Studies	GH	History of Philosophy	B5
Asian Studies	G5	Logic	B6
Classics	G7	Metaphysics	B7
Folklore/Folklife	R1	Non-Western Philosophy	B8
History/Philosophy of Science, Technology, or Medicine	GA	Religion	E1
International Studies	GG	Comparative Religion	E5
Labor Studies	G4	History of Religion	E2
Latin American Studies	GJ	Non-Western Religion	E4
Medieval Studies	G8	Philosophy of Religion	E3
Regional Studies	GF	Social Science	U2
Renaissance Studies	G9	American Government	F2
Rural Studies	GC	Economics	N1
Urban Studies	G2	Geography	U7
Western Civilization	GB	International Relations	F3
Women's Studies	G1	Political Science	F1
		Psychology	U5
		Public Administration	F4
		Sociology	S1

BUDGET INFORMATION, INSTRUCTIONS, AND FORMS

Project Budget

The Budget Form and instructions for completing it follow.

Types of Grant Support. The Endowment supports projects with outright funds, matching funds, and a combination of the two.

Outright Funds: Outright funds are awarded by the Endowment to support approved projects and are not contingent on additional fund raising by the grantees.

Matching Funds: Matching funds, by contrast, require a grantee to secure gift funds from third parties before federal funds are awarded. Endowment matching grants are made on a one-to-one basis and are intended to stimulate private support for projects in the humanities by offering potential donors the incentive of doubling the impact of their gifts.

Because matching awards enable the Endowment to provide support to a greater number of significant but often costly projects, applicants are encouraged to request complete or partial support in the form of matching grants. Whenever possible, applicants requesting matching funds should identify potential sources of gift funds at the time they submit an application to the Endowment.

For the purpose of the Endowment's gifts and matching program, a gift is a voluntary transfer of money (or a noncash contribution that is subsequently converted to cash) from a nonfederal third party to the applicant without compensation or consideration in return. Only gifts that will be used to support budgeted project activities during the grant period are eligible to be matched with federal funds. Ineligible donors include the applicant who will carry out the project and any institution or individual who is involved in project activities and will receive some sort of remuneration from project funds.

Combined Funds: Applicants may also request a combination of outright and matching funds from the Endowment. For example, if a project will cost \$40,000, and the applicant expects to receive \$5,000 from an eligible third-party donor, the applicant should request \$5,000 in matching funds. The balance of the project's costs (\$30,000) may be requested in outright funds.

The Endowment may offer funding at a different level than that requested. In some instances, the Endowment may offer matching funds only, or it may offer a combination of matching and outright funds in response to a request for outright funds.

Cost Sharing. Because of the limited funds available for support of research, the Endowment normally can contribute only part of the funds needed to carry out projects. Cost sharing consists of the cash contributions made to the project by the applicant and third parties as well as third-party in-kind contributions, such as donated services and goods. Cost sharing includes gift money that will be raised to release federal matching funds. For institutional applicants, the federal contribution to a project--which includes funds requested from the Endowment and other federal sources--generally will not exceed (and is rarely as much as) 80 percent of the total project cost; the balance of the project costs is to be shared by nonfederal sources. Cost sharing in renewal applications is usually significantly higher than in the previous proposal. Individual applicants need not show cost sharing in their applications unless they are requesting federal matching funds, in which case the gifts are shown as cost sharing. Individual applicants who receive grants only in outright funds are not expected to provide cost sharing.

Grant Period. The grant period encompasses the entire period for which Endowment support is requested in the current application. All project activities and the expenditure of project funds must occur during the grant period. Projects can include full- or part-time activities for periods of up to three years.

National Endowment for the Humanities

BUDGET INSTRUCTIONS

Before developing a project budget, applicants should review those sections of the program guidelines and application instructions that discuss cost-sharing requirements, the different kinds of Endowment funding, limitations on the length of the grant period, and any restrictions on the types of costs that may appear in the project budget.

Requested Grant Period

Grant Periods begin on the first day of the month and end on the last day of the month. All project activities must take place during the requested grant period.

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions/cost sharing.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken that expenses that are included in the organization's indirect cost pool (see Indirect Costs) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits that are not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as nonexpendable

personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the NEH budget. If there is more than one contractor, each must be budgeted separately on the NEH form and must have an attached itemization.

Indirect Costs (Overhead)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency may choose one of the following options.

1. The Endowment will not require the formal negotiation of an indirect cost rate, provided the charge for indirect costs does not exceed 10 percent of direct costs, less distorting items (e.g., capital expenditures, major subcontracts), up to a maximum charge to the project of \$5,000 per year. (Applicants who choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs).

2. If your organization wishes to use a rate higher than 10 percent or claim more than \$5,000 in indirect costs per year, an estimate of the indirect cost rate and the charges should be provided on the budget form. If the application is approved for funding, you will be instructed to contact the NEH Office of Inspector General to develop an indirect cost proposal.

SAMPLE BUDGET COMPUTATIONS

					NEH Funds	Cost Sharing	Total
					(a)	(b)	(c)
Salaries and Wages							
Jane Doe/Project Director	[]	9 months x 100% @ \$40,000/academic yr.			\$20,000	\$20,000	\$40,000
Jane Doe	[]	1 summer month x 100% @ \$3,000			\$ 3,000		\$ 3,000
John Smith/Research Assistant	[]	6 months x 50% @ \$30,000/yr.			\$ 7,500		\$ 7,500
Secretarial Support	[]	3 months x 100% @ \$20,000/yr.			\$ 5,000		\$ 5,000
Fringe Benefits							
15% of \$50,500					\$ 4,775	\$ 2,800	\$ 7,575
10% of \$ 5,000					\$ 500		\$ 500
Travel							
	no. of persons	total travel days	subsistence costs	transport. costs =			
New York City/Chicago	[2]	[4]	\$800	\$600	\$ 1,400		\$ 1,400
Various/Washington D.C. conf.	[5]	[10]	\$750	\$500	\$ 1,250		\$ 1,250
Consultant Fees							
Epistemologist	5 days	@ \$100/day			\$ 500		\$ 500
Services							
Long Distance Telephone		est. 40 toll calls @ \$3.00			\$ 120		\$ 120
Conference Brochure		50 copies @ \$3.50/copy			\$ 175		\$ 175
TOTAL DIRECT COSTS					\$44,220	\$22,800	\$67,020
Indirect Costs							
20% of \$67,020					\$ 8,850	\$ 4,554	\$13,404
TOTAL PROJECT COSTS (Direct and Indirect)					\$53,070	\$27,354	\$80,424

National Endowment for the Humanities
BUDGET FORM

OMB No. 3136-0134
Expires 7/31/00

Project Director	If this is a revised budget, indicate the NEH application/grant number:
Applicant Organization	Requested Grant Period FROM _____ THRU _____ mo/yr mo/yr

The three-column budget has been developed for the convenience of those applicants who wish to identify the project costs that will be charged to NEH funds and those that will be cost shared. **FOR NEH PURPOSES, THE ONLY COLUMN THAT NEEDS TO BE COMPLETED IS COLUMN C.** The method of cost computation should clearly indicate how the total charge for each budget item was determined. If more space is needed for any budget category, please follow the budget format on a separate sheet of paper.

When the requested grant period is eighteen months or longer, separate budgets for each twelve-month period of the project must be developed on duplicated copies of the budget form.

SECTION A - budget detail for the period FROM _____ THRU _____
mo/yr mo/yr

1. Salaries and Wages. Provide the names and titles of principal project personnel. For support staff, include the title of each position and indicate in brackets the number of persons who will be employed in that capacity. For persons employed on an academic year basis, list separately any salary charge for work done outside the academic year.

name/title of position	no.	method of cost computation (see sample)	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[]	_____	\$ _____	\$ _____	\$ _____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
_____	[]	_____	_____	_____	_____
SUBTOTAL			\$ _____	\$ _____	\$ _____

2. Fringe Benefits. If more than one rate is used, list each rate and salary base.

rate	salary base	(a)	(b)	(c)
_____ % of	\$ _____	\$ _____	\$ _____	\$ _____
_____ % of	\$ _____	_____	_____	_____
SUBTOTAL		\$ _____	\$ _____	\$ _____

3. Consultant Fees. Include payments for professional and technical consultants and honoraria.

name or type of consultant	no. of days on project	daily rate of compensation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
SUBTOTAL			\$ _____	\$ _____	\$ _____

4. Travel. For each trip, indicate the number of persons traveling, the total days they will be in travel status, and the total subsistence and transportation costs for that trip. When a project will involve the travel of a number of people to a conference, institute, etc., these costs may be summarized on one line by indicating the point of origin as "various." All foreign travel must be listed separately.

from/to	no. persons	total travel days	subsistence costs	+	transportation costs	=	NEH Funds (a)	Cost Sharing (b)	Total (c)
_____	[]	[]	\$ _____		\$ _____		\$ _____	\$ _____	\$ _____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
_____	[]	[]	_____		_____		_____	_____	_____
SUBTOTAL							\$ _____	\$ _____	\$ _____

5. Supplies and Materials. Include consumable supplies, materials to be used in the project and items of expendable equipment; i.e., equipment items costing less than \$5,000 and with an estimated useful life of less than one year.

item	basis/method of cost computation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
SUBTOTAL		\$ _____	\$ _____	\$ _____

6. Services. Include the cost of duplication and printing, long distance telephone, equipment rental, postage, and other services related to project objectives that are not included under other budget categories or in the indirect cost pool. For subcontracts provide an itemization of subcontract costs on this form or on an attachment.

item	basis/method of cost computation	(a)	(b)	(c)
_____	_____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
SUBTOTAL		\$ _____	\$ _____	\$ _____

item	basis/method of cost computation	NEH Funds (a)	Cost Sharing (b)	Total (c)
		\$	\$	\$
SUBTOTAL		\$	\$	\$

☐ Current indirect cost rate(s) has/have been negotiated with federal agency. (Complete items A and B.)

☐ Indirect cost proposal has been submitted to a federal agency but not yet negotiated. (Indicate the name of the agency in item A and show proposed rate(s) and base(s), and the amount(s) of indirect costs in item B.)

☐ Indirect cost proposal will be sent to NEH if application is funded. (Provide an estimate in item B of the rate that will be used and indicate the base against which it will be charged and the amount of indirect costs.)

☐ Applicant chooses to use a rate not to exceed 10% of direct costs, less distorting items, up to a maximum charge of \$5,000 per year. (Under item B, enter the proposed rate, the base against which the rate will be charged, and the computation of indirect costs or \$5,000, whichever sum is less.)

B.		NEH Funds (a)	Cost Sharing (b)	Total (c)
rate(s)	base(s)			
_____ % of	\$ _____	\$ _____	\$ _____	\$ _____
_____ % of	\$ _____	_____	_____	_____
TOTAL INDIRECT COSTS		\$ _____	\$ _____	\$ _____

10. Total Project Costs (direct and indirect) for Budget Period \$ _____ \$ _____ \$ _____

SECTION B - Summary Budget and Project Funding**SUMMARY BUDGET**

Transfer from section A the total costs (column c) for each category of project expense. When the proposed grant period is eighteen months or longer, project expenses for each twelve-month period are to be listed separately and totaled in the last column of the summary budget. For projects that will run less than eighteen months, only the last column of the summary budget should be completed.

Budget Categories	First Year/ from: thru:	Second Year/ from: thru:	Third Year/ from: thru:	TOTAL COSTS FOR ENTIRE GRANT PERIOD
1. Salaries and Wages	\$ _____	\$ _____	\$ _____	= \$ _____
2. Fringe Benefits	_____	_____	_____	= _____
3. Consultant Fees	_____	_____	_____	= _____
4. Travel	_____	_____	_____	= _____
5. Supplies and Materials	_____	_____	_____	= _____
6. Services	_____	_____	_____	= _____
7. Other Costs	_____	_____	_____	= _____
8. Total Direct Costs (items 1-7)	\$ _____	\$ _____	\$ _____	= \$ _____
9. Indirect Costs	\$ _____	\$ _____	\$ _____	= \$ _____
10. Total Project Costs (Direct & Indirect)	\$ _____	\$ _____	\$ _____	= \$ _____

PROJECT FUNDING FOR ENTIRE GRANT PERIOD

I. Requested from NEH:		II. Cost Sharing:¹	
Outright	\$ _____	A. Third-Party Contributions	\$ _____
Federal Matching	\$ _____	B. Applicant's Contributions	\$ _____
TOTAL NEH FUNDING	\$ _____	TOTAL COST SHARING	\$ _____
		III. Funding from Other Federal Agencies:	\$ _____
		TOTAL COST SHARING AND FUNDING FROM OTHER FEDERAL AGENCIES (II + III)	\$ _____

Total Project Funding (Total of I + II + III)² = \$ _____

¹ Under Cost Sharing, line II.A. should indicate the amount of contributions to be made by third parties (including any third-party cash gifts that will be raised to release federal matching funds). On line II.B., indicate the amount that will be contributed to the project by the applicant institution. NOTE that the Endowment's cost-sharing expectations may be met either through contributions from third parties or the institution's own resources.

² Total Project Funding should equal Total Project Costs.

Institutional Grant Administrator/Individual Applicant. Provide the information requested below when a revised budget is submitted. The signature of this person indicates approval of the budget submission and the agreement of the organization/individual to cost share project expenses at the level indicated under "Project Funding."

Name and Title (please type or print)

Telephone (_____) _____

Signature

Date _____

APPENDIX

Certification Instructions

Certifications. In submitting an application to NEH, applicants are required to certify (by signing Block 12 of the application cover sheet) that they are not presently debarred, suspended, declared ineligible, or voluntarily excluded from participating in federally funded programs; are not currently delinquent in the payment of a federal debt; and, if the project is funded by NEH, will have a drug-free workplace program in place within thirty (30) days of the issuance of an award. Institutional applicants must further certify that they are in compliance with the nondiscrimination statutes and NEH's implementing regulations. Finally, when applicants request more than \$100,000 in grant funds, they must certify that no federal funds have been or will be paid to persons to influence the funding decision (lobby) for the proposal that is being submitted for consideration.

These certifications are material representations of fact upon which the Endowment will rely in making funding decisions. If it is later determined that an applicant knowingly provided erroneous certification or did not comply with the requirements, the Endowment may seek judicial enforcement of the certification or may suspend or terminate the award.

Applicants who cannot certify regarding compliance with the nondiscrimination statutes, the establishment of a drug-free workplace program, or the prohibition on lobbying are **not** eligible to apply for funding from NEH. Although applicants who are unable to certify regarding federal debt status or debarment and suspension are technically eligible to submit an application to NEH as long as they provide a written explanation of their status, they are advised to discuss their particular situation with program staff before beginning work on their proposal.

Applicants who plan to use awards to fund **subgrants, contracts, and subcontracts** should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts.

- (1) certification of compliance with nondiscrimination statutes from **institutional** applicants and contractors, and
- (2) certification regarding lobbying from those requesting in excess of \$100,000 in grant funds, and
- (3) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to **include without modification** the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:

- (a) The prospective lower tier participant certifies, by submission of this

proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Additional information on the certification requirements is available on the NEH website, <http://www.neh.gov>, or from the NEH Grants Office, Room 311, Washington, D.C. 20506 (202/606-8494).

The text of the certifications follows:

1. Certification Regarding the Nondiscrimination Statutes and Implementing Regulations (Applies to Recipients Other than Individuals). The applicant certifies that it will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d *et seq.*) which provides that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant received federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving federal financial assistance; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681 *et seq.*) which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101 *et seq.*) which prohibits discrimination on the basis of age in programs and activities receiving federal financial assistance, except that actions which reasonably take age into account as a factor necessary for the normal operation or achievement of any statutory objective of the project or activity shall not violate this statute.

2. Certification Regarding Federal Debt Status (OMB Circular A-129). The applicant certifies to the best of its knowledge and belief, that it is not delinquent in the repayment of any federal debt.

3. Certification Regarding Debarment and Suspension (45 CFR 1169). The prospective primary participant (applicant) certifies to the best of its knowledge and belief that it and its principals: (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

4. Certification Regarding Drug-Free Workplace Requirements (Drug-Free Workplace Act of 1988).

Alternate I. (Applies to Grantees Other Than Individuals)

(A) The grantee certifies that it will provide a drug-free workplace by

(a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grant; (b) establishing and notifying drug-free awareness programs to inform employees for violation of such prohibitions; abuse in the workplace; (2) the grantee's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;

(c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

(B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

Alternate II. (Applies to Grantees Who Are Individuals)

(A) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant.

(B) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to the grant officer or other designee, unless the federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

5. Certification Regarding Lobbying Activities (45 CFR 1168) (Applies to Applicants Requesting Federal Funds in Excess of \$100,000). The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be

paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

APPLICATION CHECKLIST FOR COLLABORATIVE RESEARCH

1. FIFTEEN copies of the application package, each copy including, in this order:

- _____ a) The NEH application cover sheet (original signed in ink by an authorizing official)
- _____ b) Statement of significance and impact
- _____ c) Table of contents
- _____ d) List of project participants
- _____ e) Narrative description
- _____ f) NEH budget forms
- _____ g) Appendices
- _____ h) History of grants

2. Two copies of the list of suggested reviewers

3. Three extra copies of the signed application cover sheet

4. One extra copy of the list of project participants

NEH will not accept applications sent via FAX machine or electronic mail.

Please remember that the next deadline for postmark of proposals is

September 1, 2000

Send applications to:

Collaborative Research

National Endowment for the Humanities

Division of Research Programs

1100 Pennsylvania Avenue, N.W.

Washington, D.C. 20506

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Endowment programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to Equal Employment Opportunity Officer, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506. TDD: 202/606-8282 (this is a special Telephone Device for the Deaf).